

INSTRUCTIONS FOR FILING AN APPLICATION FOR A MANUFACTURER LICENSE, KEY EMPLOYEE/QUALIFIER OR EMPLOYEE

These instructions are applicable to any enterprise that is proposing to provide slot machines or associated equipment to any slot machine licensee in Pennsylvania or who manufactures slot machines for use in Pennsylvania. Please be advised that no person, its affiliate, intermediary, subsidiary or holding company that has applied for or is a holder of a manufacturer or slot machine license, shall be eligible to apply for or hold a supplier license. All licenses under this section will be issued pursuant to §1317 of Act 71, The Pennsylvania Race Horse Development and Gaming Act.

The original and Seven (7) copies of all forms shall be sent to the Pennsylvania Gaming Control Board, Post Office Box 69060, Harrisburg, Pennsylvania 17106-9060 with the appropriate fees as shown below:

Fees and charges shall be made payable to the Pennsylvania Gaming Control Board:

Manufacturers: \$50,000.00 payable upon the issuance of the license.

Background Investigation: \$5,000.00 nonrefundable deposit with the entity applicant, \$2,500.00 nonrefundable deposit for each Key Employee/Qualifier requiring a background investigation or other investigation and a \$350.00 non-refundable application processing deposit for each Key Employee/Qualifier Waiver Form. By paying the deposit, the applicant agrees to reimburse any additional costs and expenses incurred in the investigation of the applicant and referenced individuals. **Deposits must be made at the time of application.**

Application Fee: \$350.00 application fee for each Manufacturer Employee Application and Disclosure Information Form. **Application fee must be made at the time of application.**

Licensing Period: Manufacturer license is valid for one year.

1. APPLICATION FORMS

The forms that make up an application for Manufacturers are as follows:

- A. Manufacturer Application and Disclosure Information Form**
(for applicant entity and each holding or intermediary company)
- B. Multi-Jurisdictional Personal History Disclosure Form and Key Employee/Qualifier Form** (Pennsylvania Supplement to the Multi-Jurisdictional Personal History Disclosure Form)
- C. Key Employee/Qualifier Waiver Form**
- D. Manufacturer Employee Application and Disclosure Information Form** if applicable for manufacturer's employees assisting in the installation and servicing

of slot machines and gaming related and associated equipment as specified within the regulations.

2. INSTRUCTIONS

A. **Manufacturer Application and Disclosure Information Form**

Please complete all sections as applications with omitted or incomplete data will not be considered but will be returned for completion and correction. Review alternative licensing instructions where applicable.

B. **Multi-Jurisdictional Personal History Disclosure Form and Key Employee/Qualifier Form** (Pennsylvania Supplement to the Multi-Jurisdictional Personal History Disclosure Form)

All individuals listed under Schedules 5 and 7 of the Manufacturer Application and Disclosure Information Form shall complete the **Multi-Jurisdictional Personal History Disclosure Form and Key Employee/Qualifier Form** (Pennsylvania Supplement to the Multi-Jurisdictional Personal History Disclosure Form) in detail. Be sure to include a photograph, tax returns and other attachments as required by these forms. Additional personnel may be required to complete this form as prescribed by the Board.

C. **Key Employee/Qualifier Waiver Form**

You may request that the Pennsylvania Gaming Control Board (“Board”) waive your obligation to be licensed as a key employee qualifier or key employee as part of a manufacturer license issuance or renewal by completing and having approved this waiver application.

D. **Manufacturer Employee Application and Disclosure Information Form**

All employees that will perform duties within gaming entity facilities or have direct contact with gaming equipment or who are directed by the Board must complete this form and submit to the Board for approval.

PLEASE NOTE THAT ALL PERSONS APPLYING FOR QUALIFICATION MUST BE FINGERPRINTED IN ACCORDANCE WITH §1802 of Act 71. SEE THE INSTRUCTIONS IN THE FORMS FOR FURTHER INFORMATION.

2. COPIES

An **original and Seven (7) copies** of all forms noted above, **including copies of all appendices and attachments**, must be included as part of the application package.

3. GENERAL

- Make extra copies of the enclosed forms for your use, as needed.
- Be sure to include the background investigation deposits with your application submission.
- All forms must be properly **signed and notarized** as required.
- All copies must be legible.
- All attachments to forms must be copied and properly identified with the corresponding item number clearly noted on the front of each attachment.

IF YOU HAVE ANY QUESTIONS REGARDING THE ENCLOSED FORMS OR THE INFORMATION REQUIRED TO COMPLETE THIS APPLICATION, PLEASE CONTACT SABRINA BERNARDES OF THE PGCB AT (717) 346-8324.

4. REFERENCES WITHIN THE ACT

§ 1208. COLLECTION OF FEES AND FINES.

THE BOARD HAS THE FOLLOWING POWERS AND DUTIES:

- (1) TO LEVY AND COLLECT FEES FROM THE VARIOUS APPLICANTS, LICENSEES AND PERMITTEES TO FUND THE OPERATIONS OF THE BOARD. THE FEES SHALL BE DEPOSITED INTO THE STATE GAMING FUND AS ESTABLISHED IN SECTION 1403 (RELATING TO ESTABLISHMENT OF STATE GAMING FUND AND NET SLOT MACHINE REVENUE DISTRIBUTION). IN ADDITION TO THE FEES SET FORTH IN SECTIONS 1209 (RELATING TO SLOT MACHINE LICENSE FEE) AND 1305 (RELATING TO CATEGORY 3 SLOT MACHINE LICENSE), THE BOARD SHALL ASSESS AND COLLECT FEES AS FOLLOWS:
 - (I) SUPPLIER LICENSEES SHALL PAY A FEE OF \$25,000 UPON THE ISSUANCE OF A LICENSE AND \$10,000 FOR THE ANNUAL RENEWAL OF A SUPPLIER LICENSE.
 - (II) MANUFACTURER LICENSEES SHALL PAY A FEE OF \$50,000 UPON THE ISSUANCE OF A LICENSE AND \$25,000 FOR THE ANNUAL RENEWAL OF A MANUFACTURER LICENSE.
 - (III) EACH APPLICATION FOR A SLOT MACHINE LICENSE, SUPPLIER LICENSE OR MANUFACTURER LICENSE MUST BE ACCOMPANIED BY A NONREFUNDABLE FEE SET BY THE BOARD FOR THE COST OF EACH INDIVIDUAL REQUIRING A BACKGROUND INVESTIGATION. THE REASONABLE AND NECESSARY COSTS AND EXPENSES INCURRED IN ANY BACKGROUND INVESTIGATION OR OTHER INVESTIGATION OR PROCEEDING CONCERNING ANY APPLICANT, LICENSEE OR PERMITTEE SHALL BE REIMBURSED TO THE BOARD BY THOSE PERSONS.
- (2) TO PROVIDE FOR THE ASSESSMENT AND COLLECTION OF FINES AND PENALTIES FOR VIOLATIONS OF THIS PART. ALL FINES AND PENALTIES SHALL BE CREDITED FOR DEPOSIT TO THE GENERAL FUND. TWO YEARS FOLLOWING ENACTMENT OF THIS PART, THE BOARD SHALL HAVE THE AUTHORITY TO INCREASE EACH YEAR ANY FEE, CHARGE, COST OR ADMINISTRATIVE PENALTY, BUT NOT ANY CRIMINAL FINE OR PENALTY, PROVIDED IN THIS PART BY AN AMOUNT NOT TO EXCEED AN ANNUAL COST-OF-LIVING ADJUSTMENT CALCULATED BY APPLYING THE PERCENTAGE CHANGE IN THE CONSUMER PRICE INDEX FOR ALL URBAN CONSUMERS (CPI-U) FOR THE PENNSYLVANIA, NEW JERSEY, DELAWARE AND MARYLAND AREA FOR THE MOST RECENT 12- MONTH PERIOD FOR WHICH FIGURES HAVE BEEN OFFICIALLY REPORTED BY THE UNITED STATES DEPARTMENT OF LABOR, BUREAU OF LABOR STATISTICS, IMMEDIATELY PRIOR TO THE DATE THE ADJUSTMENT IS DUE TO TAKE

§ 1317. SUPPLIER AND MANUFACTURER LICENSES APPLICATION (GENERAL PROVISIONS).

- (A) APPLICATION.--ANY PERSON SEEKING TO PROVIDE SLOT MACHINES OR ASSOCIATED EQUIPMENT TO A SLOT MACHINE LICENSEE WITHIN THIS COMMONWEALTH OR TO MANUFACTURE SLOT MACHINES FOR USE IN THIS COMMONWEALTH SHALL APPLY TO THE BOARD FOR EITHER A SUPPLIER OR MANUFACTURER LICENSE. NO PERSON, ITS AFFILIATE, INTERMEDIARY, SUBSIDIARY OR HOLDING COMPANY WHO HAS APPLIED FOR OR IS A HOLDER OF A MANUFACTURER OR SLOT MACHINE LICENSE, SHALL BE ELIGIBLE TO APPLY FOR OR HOLD A SUPPLIER LICENSE. A SUPPLIER LICENSEE SHALL ESTABLISH A PRINCIPLE PLACE OF BUSINESS IN THIS COMMONWEALTH WITHIN ONE YEAR OF ISSUANCE OF ITS SUPPLIER LICENSE AND MAINTAIN SUCH DURING THE PERIOD IN WHICH THE LICENSE IS HELD. NO SLOT MACHINE LICENSEE SHALL ENTER INTO ANY SALE, LEASE, CONTRACT OR ANY OTHER TYPE OF AGREEMENT PROVIDING SLOT MACHINES, PROGRESSIVE SLOT MACHINES, PARTS OR ASSOCIATED EQUIPMENT FOR USE OR PLAY WITH ANY PERSON OTHER THAN A SUPPLIER LICENSEE PURSUANT TO THIS SECTION. SLOT MONITORING SYSTEMS, CASINO MANAGEMENT SYSTEMS, PLAYER TRACKING SYSTEMS AND WIDE-AREA PROGRESSIVE SYSTEMS ARE EXCLUDED FROM ANY REQUIREMENTS THAT THEY BE PROVIDED THROUGH A LICENSED SUPPLIER AS SET FORTH IN THIS PART.
- (B) REQUIREMENTS.--THE APPLICATION FOR A SUPPLIER OR MANUFACTURER LICENSE SHALL INCLUDE, AT A MINIMUM:
 - (1) THE NAME AND BUSINESS ADDRESS OF THE APPLICANT, THE DIRECTORS AND OWNERS OF THE APPLICANT AND A LIST OF EMPLOYEES AND THEIR POSITIONS

WITHIN THE BUSINESS, AS WELL AS ANY FINANCIAL INFORMATION REQUIRED BY THE BOARD.

- (2) THE CONSENT TO A BACKGROUND INVESTIGATION OF THE APPLICANT, ITS OFFICERS, DIRECTORS, OWNERS, KEY EMPLOYEES OR OTHER PERSONS REQUIRED BY THE BOARD AND A RELEASE TO OBTAIN ANY AND ALL INFORMATION NECESSARY FOR THE COMPLETION OF THE BACKGROUND INVESTIGATION.
- (3) THE DETAILS OF ANY EQUIVALENT LICENSE GRANTED OR DENIED BY OTHER JURISDICTIONS WHERE GAMING ACTIVITIES ARE PERMITTED AND CONSENT FOR THE BOARD TO ACQUIRE COPIES OF APPLICATIONS SUBMITTED OR LICENSES ISSUED IN CONNECTION THEREWITH.
- (4) THE TYPE OF GOODS AND SERVICES TO BE SUPPLIED OR MANUFACTURED AND WHETHER THOSE GOODS AND SERVICES WILL BE PROVIDED THROUGH PURCHASE, LEASE, CONTRACT OR OTHERWISE.
- (5) ANY OTHER INFORMATION DETERMINED BY THE BOARD TO BE APPROPRIATE.